

## Update on the development of the new secure module of SHERLOC

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In its resolution 9/1, the Conference of the Parties *requested the Secretariat, in close consultation with and reflecting inputs from States parties, including by means of a test phase, to further develop the knowledge management portal known as Sharing Electronic Resources and Laws on Crime, in accordance with the procedures and rules contained in the annex to resolution 9/1.*

In order to fulfil the above-mentioned mandate, the substantive office of the Secretariat and ITS of UNOV delineated, within existing resources, through rounds of consultations, the functionalities of the new secure module of SHERLOC to support information-gathering, written communication, archiving, dissemination and analysis for the review process. The functionalities of the new secure module was prepared strictly based on the requirements contained in the resolution 9/1 and the Procedures and rules for the functioning of the Mechanism for the Review of the Implementation of the UNTOC and the Protocols thereto which was annexed to the resolution.

The present document serves the purpose of informing States parties about the progress made by the Secretariat in the development of the secure module and seeks comments from States parties on these functionalities delineated by the Secretariat to ensure that they are in line with the requirements of the resolution 9/1 and the Procedures and rules for the review mechanism annexed to it. States parties are invited to submit their comments by 26 April to [untoc.cop@un.org](mailto:untoc.cop@un.org)

### **Requirement for the new secure module contained in the Procedures and Rules**

#### Relevant paragraphs from resolution 9/1

18. Each State party shall appoint a focal point to coordinate its participation in the review, and make this information available on the knowledge management portal known as Sharing Electronic Resources and Laws on Crime (SHERLOC). In the case that a State party has not appointed a focal point by the time of the drawing of the lots referred to in paragraph 28, all communications will be submitted to its permanent representative, who shall act as temporary focal point.

20. Each State party under review shall provide the responses to the self-assessment questionnaire to the reviewing States parties through the secure module of SHERLOC established in line with paragraph 21. Upon request, the Secretariat shall facilitate the States parties uploading information, including by assisting them with e-training, instructions, advice and credentials.

21. The self-assessment questionnaire shall be available on SHERLOC. A new secure module shall be developed as a further component of SHERLOC to host the questionnaires and responses thereto, which shall ensure the full confidentiality of all data submitted by States parties. The module shall include a secure written communications platform for the

ensuing dialogue between the State party under review and the reviewing States parties, and archive capabilities.

24. The Secretariat shall be responsible for optimising and maintaining SHERLOC to serve as the user-friendly database for collecting and disseminating information on the Mechanism.

26. The responses to the self-assessment questionnaire and any additional information provided by the State party under review, including reference to relevant legislation, shall be reviewed by two other States that are parties to the relevant instruments, with the active involvement of the State party under review. States parties under review are also encouraged to provide to SHERLOC any other reference materials that may contribute to a better understanding of their legal framework.

27. Each State party shall, for the purposes of the review, designate at least one governmental expert with expertise relevant to the instruments it is party to and make this information available on SHERLOC.

33. The Secretariat shall provide administrative support to facilitate the establishment of lines of communication among the governmental experts involved in the country review upon request, in order to ensure that they can make best use of the secure written communication platform developed under SHERLOC and referred to in paragraph 21. The Secretariat shall be kept abreast of all communications made through SHERLOC.

34. Within a reasonable time frame, to be mutually agreed by the parties involved, not exceeding six months, the State party under review shall provide the responses to the self-assessment questionnaires to the reviewing States parties through the secure module of SHERLOC.

35. Within a reasonable time frame, not exceeding six months, of the receipt of the responses to the self-assessment questionnaires from the State party under review, the reviewing States parties shall submit to the State party under review written feedback on the measures taken in the implementation of the Convention and the relevant Protocols, as well as on successes and challenges of such implementation. The feedback may also contain, where necessary, requests for clarification or additional information, or supplementary questions to which the State party under review is encouraged to respond. A constructive dialogue between the State party under review and the reviewing States parties shall be guided by the principles and characteristics set forth in section II as well as the provisions set forth in section III, and a record of that dialogue shall be archived in the designated confidential module in SHERLOC.

36. While SHERLOC represents the primary platform of communication, as described in sections V.C and V.D of the present procedures and rules, States parties participating in a review may use other available technological tools, such as virtual networks, conference calls and videoconferences, as part of their constructive dialogue. States parties are encouraged to take advantage of regularly scheduled meetings of the Conference of the Parties and its working groups to further the direct dialogue. Relevant information on such dialogues may be uploaded to the sections of SHERLOC dedicated to the ensuing dialogue between the State party under review and the reviewing States parties, in order to keep a record of the process.

37. The reviewing States parties, their governmental experts involved in the review and the Secretariat shall maintain the confidentiality of all information obtained in the course of, or used in, the country review. On a voluntary basis, parties under review may request the

Secretariat to use information provided during their reviews to populate the public elements of SHERLOC.

40. In order to improve and strengthen cooperation and learning among States parties, the responses to the self-assessment questionnaires submitted after the adoption of the Mechanism shall be made accessible to all States parties in the secure module of SHERLOC. The State under review may also decide to make available the ensuing dialogue mentioned in paragraph 21 and additional documentation pertaining to its review.

41. A State party may decide to make public the responses to its self-assessment questionnaire, ensuing dialogue and additional documentation, or part thereof, including through SHERLOC.

## **Functionalities of the new secure module of SHERLOC**

### **Preparation of the review process**

The new secure module:

- will allow the pairing of States parties (reviewing and under review) in accordance with the result of the drawing of lots;
- will allow uploading of focal points and national experts. Each expert and focal point will have a user profile and will be able to participate in the country review. The focal point of a specific State party under review will coordinate with the team of national experts of its reviewing States.
- will host the self-assessment questionnaires that can be filled in online or downloaded and re-uploaded when complete. The module will also allow the completion of the questionnaires in separate sections, allowing a “save & close” option without the need for submitting the final answers. The system will allow all national experts to fill in the questionnaires.

### **Participation in the review process**

- The self-assessment questionnaires will be available in the six official UN languages (as soon as an official translation is available). The questionnaires will be divided in four clusters. For each cluster the new secure module will allow a sub-division per instrument with different reviewers associated to each instrument given that reviewing States for reviewing the implementation of all instruments to which a State under review may differ because of different ratification status among States to UNTOC;
- The new secure module will allow to carry out written communication on the responses provided before starting the drafting of the relevant outcome documents (lists of observations and summaries). If a system other than SHERLOC is used for communication, the new secure module will allow users to attach minutes of the meetings in the system;
- The responses to the self-assessment questionnaires will be made available to other States parties on the new secure module at the time decided by States parties/Conference of the Parties. Responses will be made public only upon authorization of the State party under review.

- The new secure module will allow the export of relevant information (legislation and case law) to the other databases of SHERLOC. The Secretariat will review these documents to check their consistency.

#### **Generate the lists of observations and the summaries**

- The new secure module will allow, through an additional written platform, to draft the lists of observations and their summaries directly in SHERLOC. The blueprints for them will be incorporated in the system.

#### **Analysis of data acquired**

- The Secretariat will be able to extract following statistics on individual responses to the self-assessment questionnaires:
  - o Quantitative overview of yes/no responses for each individual question. ('How many countries answered yes to a specific question'). This will only be possible for non-paper-based responses;
  - o Overview of all textual responses for a specific question.

#### **Confidentiality**

- The new secure module of SHERLOC will abide by the general UN policies in place that are governing security, privacy and confidentiality of UN system;
- The new module and its sub-database will be protected by password. Access to the new secure module will only be allowed to States parties and their national experts;
- Different sub-database such as different groups of paired reviewing and review States are only accessible to users as decided by the States parties/Conference of the Parties to UNTOC.

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